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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/040,509	03/17/1998	RONALD A. KATZ	233-134	1901

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EXAMINER
WOO, STELLA L

ART UNIT	PAPER NUMBER
2643	

DATE MAILED: 02/26/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

	Application No. 09/040,509	**Applicant(s)** Katz
	Examiner Stella Woo	**Art Unit** 2643

-- *The MAILING DATE of this communication appears on the cover sheet with the correspondence address* --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE ___3___ MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☒ Responsive to communication(s) filed on *Dec 9, 2002* .

2a) ☒ This action is **FINAL**.   2b) ☐ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) *29-42* is/are pending in the application.

     4a) Of the above, claim(s) _____ is/are withdrawn from consideration.

5) ☐ Claim(s) _____ is/are allowed.

6) ☒ Claim(s) *29-42* is/are rejected.

7) ☐ Claim(s) _____ is/are objected to.

8) ☐ Claims _____ are subject to restriction and/or election requirement.

Application Papers

9) ☐ The specification is objected to by the Examiner.

10) ☐ The drawing(s) filed on _____ is/are a) ☐ accepted or b) ☐ objected to by the Examiner.

     Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.

     If approved, corrected drawings are required in reply to this Office action.

12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

13) ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

     a) ☐ All b) ☐ Some* c) ☐ None of:

        1. ☐ Certified copies of the priority documents have been received.

        2. ☐ Certified copies of the priority documents have been received in Application No. _____ .

        3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

     *See the attached detailed Office action for a list of the certified copies not received.

14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

     a) ☐ The translation of the foreign language provisional application has been received.

15) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s). _____

4) ☐ Interview Summary (PTO-413) Paper No(s). _____

5) ☐ Notice of Informal Patent Application (PTO-152)

6) ☐ Other: _____

DETAILED ACTION

Claim Rejections - 35 USC § 103

1.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth
> in section 102 of this title, if the differences between the subject matter sought to be patented and the prior
> art are such that the subject matter as a whole would have been obvious at the time the invention was made
> to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be
> negatived by the manner in which the invention was made.

2.   Claims 29-32 are rejected under 35 U.S.C. 103(a) as being unpatentable over the

publication entitled "The AT&T Multi-Mode Voice Systems - Full Spectrum Solutions for

Speech Processing Applications" (hereinafter "Hester") in view of Szlam et al.

(USPN 4,797,911, hereinafter "Szlam"), and further in view of Foster et al. (USPN 4,897,867,

hereinafter "Foster") as applied in the last Office action.

Hester discloses a process including the steps of:

receiving said call data signals (DNIS; page 3, second paragraph);

providing verbal prompts (via voice response unit; Fig. 1);

receiving data (via Touch-Tone input or recognized voice input; page 1, second

paragraph; page 2, last paragraph; page 6, Application Example);

providing a data base computer (host computer with customer database; page 3, third

paragraph) including verification means (note credit card verification, sales order entry, etc.;

page 1, first paragraph). Hester clearly provides for various applications in which data received from callers would have to be stored in an identifiable relationship to the callers, namely, reservations and sales order entry (page 1, first paragraph).

Hester differs from claims 29-35 in that it does not explicitly provide for updating callers' files and receiving caller identification signals entered by the caller. However, Szlam, from the same field of endeavor, teaches the desirability of storing an historical record for each calling customer (customer account information is stored in mainframe 16), updating the customer's files for subsequent processing (col. 11, lines 10-28; col. 12, lines 29-66; col. 13, lines 22-42), and receiving a caller's telephone number via ANI or DTMF key input (voice message played depends on whether the identified customer has an established account and customer input; col. 12, line 9 - col. 13, line 54) such that it would have been obvious to an artisan of ordinary skill to incorporate such updating of files and caller identification, as taught by Szlam, within the method of Hester in order to identify the customer, maintain current customer information, keep a record of each call and allow customers to change a previous order.

The combination of Hester and Szlam differs from claims 29-35 in that it does not specify that the certain data entered by the caller comprises a precise number of digits that always total a particular numerical value. However, Foster teaches the desirability of verifying customer information (PIN information) by checking the expected digit count (col. 7, lines 36-65) in order to verify a calling customer as well as to detect dialing errors. It would have been obvious to an

artisan of ordinary skill to incorporate such a well known verification feature, as taught by Foster, within the combination of Hester and Szlam as part of the customer verification process.

Regarding claim 32, note attendant line interface (Fig. 1).

3. Claims 33-35 are rejected under 35 U.S.C. 103(a) as being unpatentable over Hester in view of Szlam, and further in view of Riskin (USPN 4,757,267) and Foster as applied in the last Office action.

Hester discloses a process including the steps of:

receiving said call data signals (DNIS; page 3, second paragraph);

providing verbal prompts (via voice response unit; Fig. 1);

receiving data (via Touch-Tone input or recognized voice input; page 1, second paragraph; page 2, last paragraph; page 6, Application Example);

providing a data base computer (host computer with customer database; page 3, third paragraph) including verification means (note credit card verification, sales order entry, etc.; page 1, first paragraph). Hester clearly provides for various applications in which data received from callers would have to be stored in an identifiable relationship to the callers, namely, reservations and sales order entry (page 1, first paragraph).

Hester differs from claims 33-35 in that it does not explicitly provide for updating callers' files. However, Szlam, from the same field of endeavor, teaches the desirability of storing an historical record for each calling customer (customer account information is stored in mainframe 16) and updating the customer's files for subsequent processing (col. 11, lines 10-28;

col. 12, lines 29-66; col. 13, lines 22-42) such that it would have been obvious to an artisan of ordinary skill to incorporate such updating of files, as taught by Szlam, within the method of Hester in order to maintain current customer information, keep a record of each call and allow customers to change a previous order.

The combination of Hester and Szlam further differs from claims 33-35 in that it does not specify generating sequence data relating to transactions. However, Riskin teaches the desirability of generating sequence numbers to identify each call (note sequential control number; col. 17, line 35 - col. 18, line 13) such that it would have been obvious to an artisan of ordinary skill to incorporate the use of such a sequential control number, as taught by Riskin, within the combination of Hester and Szlam in order to maintain a record of each call.

The combination of Hester, Szlam, and Riskin differs from claims 33-35 in that it does not specify that the certain data entered by the caller comprises a precise number of digits that always total a particular numerical value. However, Foster teaches the desirability of verifying customer information (PIN information) by checking the expected digit count (col. 7, lines 36-65) in order to verify a calling customer as well as to detect dialing errors. It would have been obvious to an artisan of ordinary skill to incorporate such a well known verification feature, as taught by Foster, within the combination of Hester and Szlam as part of the customer verification process.

4.   Claims 36-42 are rejected under 35 U.S.C. 103(a) as being unpatentable over the combination of Hester and Szlam, and further in view of Barger, Jr. et al. (USPN 4,071,698, hereinafter "Barger") and Foster as applied in the last Office action.

Hester discloses a process including the steps of:

receiving said call data signals (DNIS; page 3, second paragraph);

providing verbal prompts (via voice response unit; Fig. 1);

receiving data (via Touch-Tone input or recognized voice input; page 1, second paragraph; page 2, last paragraph; page 6, Application Example);

providing a data base computer (host computer with customer database; page 3, third paragraph) including verification means (note credit card verification, sales order entry, etc.; page 1, first paragraph). Hester clearly provides for various applications in which data received from callers would have to be stored in an identifiable relationship to the callers, namely, reservations and sales order entry (page 1, first paragraph).

Hester differs from claims 36-42 in that it does not explicitly provide for updating callers' files. However, Szlam, from the same field of endeavor, teaches the desirability of storing an historical record for each calling customer (customer account information is stored in mainframe 16) and updating the customer's files for subsequent processing (col. 11, lines 10-28; col. 12, lines 29-66; col. 13, lines 22-42) such that it would have been obvious to an artisan of ordinary skill to incorporate such updating of files, as taught by Szlam, within the method of

Hester in order to maintain current customer information, keep a record of each call and allow customers to change a previous order.

The combination of Hester and Szlam differs from claims 36-42 in that it does not specify defining a limit on use. However, Barger teaches the desirability of defining a limit on the number of uses by identified callers in an interactive voice-telephony system (col. 11, lines 34-47) such that it would have been obvious to an artisan of ordinary skill to incorporate the limited use feature, as taught by Barger, within the combination of Hester and Szlam in order to prevent overuse by a single caller.

The combination of Hester, Szlam and Barger differs from claims 36-42 in that it does not specify that the certain data entered by the caller comprises a precise number of digits that always total a particular numerical value. However, Foster teaches the desirability of verifying customer information (PIN information) by checking the expected digit count (col. 7, lines 36-65) in order to verify a calling customer as well as to detect dialing errors. It would have been obvious to an artisan of ordinary skill to incorporate such a well known verification feature, as taught by Foster, within the combination of Hester and Szlam as part of the customer verification process.

Regarding claims 41 and 42, Szlam provides for identifying customers using ANI information (via ANI decoder 10a28).

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Response to Arguments

5.   Applicant's arguments filed December 9, 2002 have been fully considered but they are not persuasive. Applicant argues that in Foster, "any check of the expected digit count ... relates to the order information and not to the customer's identification." The examiner disagrees. In the passage cited and relied upon by the examiner in the previous Office action (col. 7, lines 36-65), Foster clearly teaches verifying customer identification data (PIN information) by checking the expected digit count (PIN digit count (PDC) information; col. 7, lines 47-49).

Conclusion

6.   **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

7.   **Any response to this final action should be mailed to:**
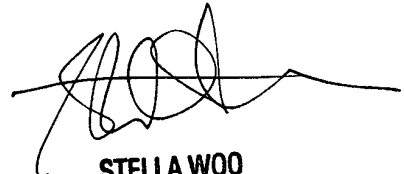
Box AF

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or faxed to:

(703) 872-9314; (for formal communications, please mark "EXPEDITED

PROCEDURE"; and for informal or draft communications, please label

"PROPOSED" or "DRAFT").

8.   Any inquiry concerning this communication or earlier communications from the examiner

should be directed to Stella Woo whose telephone number is (703) 305-4395. Any general

inquiries should be directed to the Customer Service Office at (703) 306-0377.

February 23, 2003

STELLA WOO
PRIMARY EXAMINER